

APPENDIX A - Preparation Guidelines for Combined Project Study Report/Project Report

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APPENDIX A - Preparation Guidelines for Combined Project Study Report/Project Report

ARTICLE 1 - Overview

Use of Combined PSR/PR

These guidelines provide a shortened form and outline to be used with the procedure described in Chapter 9, Article 12, of this manual. They satisfy the requirements for both a Project Study Report (PSR) and a Project Report (PR).

For Special Funded Projects

The Combined Project Study Report/Project Report (Combined PSR/PR) was developed in an effort to streamline the project development process for non complex, non controversial projects on State highways that are 100 percent funded by others. It applies to projects that have an estimated construction cost over \$1,000,000 for work within the existing or to be dedicated State right of way. In addition , the project must comply with the stated criteria itemized in Chapter 9, Article 12, of this manual. It may also be used as a project report for some projects costing more than \$300,000 that are too complex to use a PEER format.

Can be Used for Some Caltrans Projects

The Combined PSR/PR may also be used for Caltrans' projects that meet the same stated criteria in Chapter 9, Article 12, provided they also meet the criteria necessary for programming of the project; i.e., justification for the project, a good cost estimate, identification of support costs, and proposed funding. In both cases, the District Directors have approval authority of the document.

Applicant Completes Combined PSR/PR

For special funded projects, it is intended that the sponsor prepare the Combined PSR/PR. However, this is not intended to preclude the district from preparing a Combined PSR/PR instead of the sponsor, provided the district has sufficient resources and PYs to meet the applicant's schedule and that there is no significant difference in the amount of work required to do a PSR and that needed to do a Combined PSR/PR.

Further, even if a project does not meet the criteria stated in Chapter 9, Article 12, for using the Combined PSR/PR format, there is no intent to preclude the district or a sponsor from combining the content required for a PSR and that required for a PR into a single report, as described in Chapter 9, Article 17, provided circumstances are such that two reports are not necessary, and the PD Coordinator concurs.

When the Permit Engineer determines that an applicant's proposed project meets the criteria for a Combined PSR/PR, a Special Funded Project Coordinator should be

designated. This Coordinator will be the contact person for the applicant. The Special Funded Project Coordinator and other potentially involved Caltrans' functional units should meet with the applicant and appropriate local agency personnel to discuss the project and Caltrans' process. Following this meeting, the applicant will prepare a Combined PSR/PR.

Although the applicant is to submit the permit application with the Combined PSR/PR, the application will not be considered complete until the Combined PSR/PR is approved. The approved Combined PSR/PR is then the authorization to enter into a Cooperative or Highway Improvement Agreement applicable, as appropriate, for the design and construction of the State Highway.

Following the Outline

In completing this document, it should be recognized that only the information that is appropriate for the proposed project needs to be included. In addition, in preparing a PR Cost Estimate for the project, as described in Chapter 20, Section 2, Article 5, and in Appendix AA, not all of the items listed in the "Cost Estimate" format will be present. Therefore, it may not always be appropriate to attach the standard estimate form. Quantities can be summarized as long as there is sufficient detail to verify the project scope and cost. Likewise, the "Right of Way Data Sheet" may or may not be appropriate for all projects.

The Combined PSR/PR is to be prepared and submitted using the outline included at the end of this Appendix. The following headings in Article 2 correspond to specific topics that are to be discussed in the submittal.

ARTICLE 2 - Item-by-Item Guidelines for Using Combined PSR/PR

Cover Sheet

All Combined PSR/PRs should have a standard cover sheet to provide project identification information and signatures. Information to be provided includes the following:

Applicant Portion

The Applicant completes the following items all in the white portion of the form:

- Applicant

Name of agency or organization submitting permit proposal.
- Date
- Date of submittal

- District-County-Route-Kilometer Post (Post Mile) [Dist-Co-Rte-KP(PM)]

The Kilometer Post should be given to the nearest 0.1 kilometer; if the project is 0.2 kilometers or more in length, give both the beginning and ending Kilometer Posts. Post Miles should follow the Kilometer Posts if needed for continuity of file references or other reasons.

- Prepared by

Name of individual who prepared this report and who should be contacted regarding the proposal.

- Title

Title of individual preparing the proposal.

- Brief Project Description

A brief written description of the project limits that corresponds to the Kilometer Posts given above and ties the limits to commonly known physical features on the ground that can be identified on available mapping.

- Registered Engineer Stamp

The Combined PSR/PR must be prepared by a California registered civil engineer. The stamp or seal and signature must be placed on the first page of the report, in the space provided. The stamp and signature is that of the registered engineer representing the local agency or applicant and who is in responsible charge of the proposed project.

Caltrans Portion

The gray portion of the form is completed by Caltrans:

- Permit Number (If appropriate)

Permit number assigned to permit application by District Permit Office.

- EA

The multiphase Expenditure Authorization (EA), using the "0" phase for the project. However, if the project is an encroachment permit project, as defined in Chapter 2, Section 5, costing \$1 million or less, for which a PEER is not appropriate, the charges should be treated as for an encroachment permit project. An encroachment permit EA should be used to charge costs for the permit review process as spelled out in Chapter 2 of the *Encroachment Permits Manual*.

- Caltrans Responsible Unit

The unit source code of the registered engineer in the functional unit assigned to review the project, or the unit source code of the Caltrans Special Funded Projects Coordinator or the Caltrans Project Manager.

- Project Manager Recommendation

The signature of the Project Manager recommending approval and indicating that all needed engineering and environmental studies have been completed.

- Environmental Status

A statement signed by the Environmental Branch Chief with the appropriate box checked indicating the environmental status of the process.

- Right of Way Statement

A statement signed by the District Division Chief for Right of Way indicating the review of the right-of-way information contained in the PR and the R/W data sheet attached to it, and a finding that the data is complete, current and accurate.

- Project Approval

The approval of the State highway portion of the project with the appropriate box checked, signed and dated by the District Director or by a District Division Chief to whom that authority has been officially delegated. Indicate the title or position of the individual who signs. Indicate which local agency approved the EIR or ND if appropriate. The date of signing becomes the official project approval date for considering the application to be complete. The approval is the authorization to enter into any described preapproved Cooperative or Highway Improvement Agreement , as appropriate, for the design and construction of the State Highway.

1. PROPOSAL

Describe the proposal, estimated cost, and schedule for completion.

2. EXISTING FACILITY

Describe the existing highway facility and the impact of proposed work on future State highway operation and safety, as well as future maintenance costs and responsibilities.

3. DEFICIENCIES

Describe the deficiencies or concerns being addressed. Discuss any issues and adjacent land-use proposals.

4. ENVIRONMENTAL STATUS

Discuss the environmental status. If a city, county, or other agency is involved in environmental process, attach the approved copy of the Categorical Exemption Determination, Negative Declaration or Environmental Impact Report, and if a NOD is required to be filed, the date of such filing.

If Caltrans is the lead agency for CEQA, attach an Environmental Significance Checklist, to assist Caltrans in making the environmental determination. If Federal environmental approval is required, this approval shall be obtained prior to approval of the Encroachment Permit.

5. TRAFFIC AND ACCIDENT DATA

Traffic and accident data shall be provided for projects that have the potential to impact State highway capacity, safety, or that reduce Caltrans flexibility to provide for future capacity. The traffic data should provide current and forecasted (design year) values for Average Annual Daily Traffic (AADT), peak hours, and peak-hour directional split. (Include percentage of trucks, if appropriate.) Caltrans will provide the most recent three-year accident history upon request. The accident data should appear in the report as follows:

LOCATION (KP to KP)	TOTAL No. OF ACC.	ACTUAL RATES (per million vehicle kilometers)			AVERAGE RATES (per million vehicle kilometers)		
		F*	F + I **	Total***	F*	F + I **	Total***

- * Fatalities
- ** Fatalities plus Injuries
- *** All reported accidents

6. TRAFFIC SIGNALS

If new or revised traffic signals are involved, discuss the following:

- Signal warrants
- Capacity analysis
- Safety analysis
- Ownership and maintenance provisions

7. NON STANDARD DESIGN FEATURES

If nonstandard mandatory and/or advisory design features are involved, discuss any exceptions requested. Provide date of Fact Sheet approval.

8. IMPACT ON RAILROADS

Discuss any railroad involvement.

9. IMPACT ON UTILITIES

Discuss any impact on utilities. Exceptions to Caltrans encroachment policy shall be approved prior to approval of the Combined PSR/PR.

10. STRUCTURES

Describe any proposed work on, or around, existing structures.

11. HIGHWAY PLANTING

Describe any proposed new or replacement highway planting, or the extent of existing planting that will be removed.

12. PERMITS

Discuss status of any required permits from other agencies relating to the proposed work within the State right of way.

13. RIGHT OF WAY REQUIRED

Describe the need for, and the status of, any additional right of way to be acquired for State highway purposes.

14. HAZARDOUS MATERIALS

If dedicated right of way, excavation, and/or structure demolition or modification are involved, discuss potential hazardous materials and attach an Initial Site Assessment (ISA).

15. REMARKS

Discuss any additional items that are important to the project. If significant construction delays are anticipated, discuss mitigating construction traffic handling practices, such as lane closures, detours, and work-hour restrictions.

Attachments

The following attachments shall be included with the Combined PSR/PR:

- Appropriate maps (location, geometric, etc.)
- Typical cross section(s)
- Appropriate environmental documentation, as outlined above
- PR Cost Estimate (see Chapter 20, Section 2, Article 5 and Appendix AA)

- Executed Preapproved Cooperative or Highway Improvement and Escrow Agreement
- Signal Warrants, if appropriate
- Right of Way Data Sheet, if appropriate (see Appendix JJ)
- Initial Site Assessment, if appropriate



APPLICANT		DATE	DIST/CO/RTE/KP(PM)
PREPARED BY		BRIEF PROJECT DESCRIPTION	
TITLE			
REGISTERED ENGINEER STAMP		PERMIT NO. (If appropriate)	
		EA	
		CALTRANS RESPONSIBLE UNIT	
		PROJECT MANAGER RECOMMENDATION	
		DATE	
		TITLE/POSITION	
		UNIT	
<p>I attest to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions were based.</p> <p>SIGNATURE</p> <p>_____</p> <p>REGISTERED CIVIL ENGINEER</p> <p>_____</p> <p>DATE</p>		<p><u>ENVIRONMENTAL STATUS</u></p> <p>Based on the information submitted, I have determined</p> <ul style="list-style-type: none"> Project is categorically exempt under the State CEQA Guidelines Final EIR (or ND) prepared for the project complies with CEQA and the State CEQA Guidelines. <p>_____</p> <p>Environmental Branch Chief</p>	
		<p><u>RIGHT OF WAY CERTIFICATION</u></p> <p>"I have reviewed the right-of-way information contained in this Project Report and the Right of Way Data Sheet attached hereto, and find the data to be complete, current, and accurate."</p> <p>_____</p> <p>District Division Chief for Right of Way</p>	
		<p><u>PROJECT APPROVAL</u></p> <ul style="list-style-type: none"> I have considered the information contained in the Final EIR or ND prepared by _____ (local agency) and I approve the State highway portion of the project. I approve the project. <p>SIGNATURE</p> <p>_____</p> <p>TITLE/POSITION</p> <p>_____</p> <p>_____</p> <p>DATE</p>	

This form is to be used as the cover sheet for the Combined PSR/PR. The shaded area is to be filled in by Caltrans. Please use the outline on the following page to complete the report.

– Outline –

1. PROPOSAL
2. EXISTING FACILITY
3. DEFICIENCIES
4. ENVIRONMENTAL STATUS
5. OTHER INFORMATION (WHEN APPROPRIATE)

TRAFFIC AND ACCIDENT DATA

TRAFFIC SIGNALS

NONSTANDARD DESIGN FEATURES

IMPACT ON RAILROADS

IMPACT ON UTILITIES

STRUCTURES

HIGHWAY PLANTING

PERMITS

RIGHT OF WAY REQUIRED

REMARKS

ATTACHMENTS

- a. LOCATION MAP
- b. GEOMETRIC PLAN(S)
- c. TYPICAL CROSS SECTION(S)
- d. ENVIRONMENTAL DOCUMENTATION
- e. PR COST ESTIMATE
- f. EXECUTED PREAPPROVED COOPERATIVE OR HIGHWAY IMPROVEMENT AND ESCROW AGREEMENT
- g. SIGNAL WARRANTS (IF APPROPRIATE)
- h. R/W DATA SHEET

OTHER: (List)